DEPARTMENT OF COMMERCE IOWA DIVISION OF BANKING, PROFESSIONAL LICENSING & REGULATION BUREAU

# PERFORMANCE REPORT

Performance Results Achieved for Fiscal Year 2007 Thomas Gronstal, Superintendent of Banking

Department of Commerce lowa Division of Banking Professional Licensing Bureau 1920 SE Hulsizer St. Ankeny, Iowa 50021 (515) 281-7447

## **TABLE OF CONTENTS**

SECTION	PAGE
INTRODUCTION	1
AGENCY OVERVIEW	1
KEY RESULTS  Core Function	3
AGENCY CONTACTS	4
PERFORMANCE PLAN RESULTS  Core Function – Regulation and Compliance  SPA – Investigation  SPA – Examinations  SPA - Licensing	5

I am pleased to present the Department of Commerce, Iowa Division of Banking, Professional Licensing & Regulation Bureau Performance Report for Fiscal Year 2007 (July 1, 2006 - June 30, 2007). This report contains valuable information about the services the Professional Licensing & Regulation Bureau has provided for Iowans during the past fiscal year. This report is being published to meet the agency's commitment to manage for results and to be open and accountable to Iowa citizens.

#### **ABOUT THE BUREAU**

**MISSION**: To provide progressive, efficient and professional regulation and enforcement of the professions within the bureau.

The professional licensing and regulation bureau exists to coordinate the administrative support for the following seven professional licensing boards that regulate approximately 40,000 licensees.

- a. The engineering and land surveying examining board is a seven-member board appointed by the governor and confirmed by the senate. It is composed of four professional engineers, one land surveyor, and two public members. The board administers lowa Code chapter 542B, Professional Engineers and Land Surveyors, and lowa Administrative Code chapter 193C.
- b. The accountancy examining board is an eight-member board appointed by the governor and confirmed by the senate. It is composed of five certified public accountants, one accounting practitioner, and two public members. The board administers lowa Code chapter 542, Public Accountants, and Iowa Administrative Code 193A.
- c. The real estate commission is a seven-member commission appointed by the governor and confirmed by the senate. It is composed of three members licensed under lowa Code chapter 543B and three public members. The board administers lowa Code chapter 543B; Real Estate Brokers and Salespersons; 543C, Sales of Subdivided Land Outside of lowa; 557A, Time-Share Act; and lowa Administrative Code 193E.
- d. The architectural examining board is a seven-member board appointed by the governor and confirmed by the senate. It is composed of five registered architects and two public members. The board administers Iowa Code chapter 544A, Registered Architects, and Iowa Administrative Code chapter 193B.
- e. The landscape architectural examining board is a seven-member board appointed by the governor and confirmed by the senate. It is composed of five registered landscape architects and two public members. The board administers lowa Code chapter 544B, Landscape Architects, and Iowa Administrative Code chapter 193D.

- f. The real estate appraiser examining board is a seven-member board appointed by the governor and confirmed by the senate. It is composed of five certified real estate appraisers and two public members. The board administers Iowa Code chapter 543D, Real Estate Appraisals and Appraisers, and Iowa Administrative Code chapter 193F.
- g. The interior design examining board was created by SF 405 in 2005, is a seven-member board appointed by the governor and confirmed by the senate. It is composed of five interior designers and two public members. The board administers Iowa Code chapter 544A, Interior Design, and Iowa Administrative Code chapter 193G.

To ensure citizens of the state receive professional, competent, and safe services, each board examines, licenses, certifies, or issues permits or licenses to practitioners, sets standards for license renewal and continuing education, investigates all complaints filed and considers alleged violations of their practice act and lowa regulations, conducts disciplinary hearings, and actively monitors the compliance of licensees with orders issued by the board.

The Bureau is dedicated to the protection of the public through its regulatory activities. To achieve this goal, each examining board or commission adopts rules and establishes standards for registrants.

#### PERFORMANCE PLAN RESULTS

#### **CORE FUNCTION**

Name: Regulation and Compliance

**Description:** The Professional Licensing and Regulation Bureau investigates and resolves complaints filed against all licensees regulated by the seven professions.

Why we are doing this: To preserve and protect the public's health, safety and welfare.

What we're doing to achieve results: Provide complaint forms and information on each of the profession's web pages.

Performance Measure: To provide investigation and resolution of written complaints received.

Performance Target: 95% of all written complaints received will be resolved within the fiscal year.

**Data Sources**: Review of Board/Commission meeting minutes.

**Data reliability:** The Boards/Commission maintains files and records for each case opened and closed.

Why we are using this measure: To assure the public that persons admitted to practice maintain acceptable standards.

**What was achieved:** The Bureau resolved 75% of the complaints that were received.

**Analysis of results:** 75% of all complaints received were resolved within the fiscal year.

**Factors affecting results:** The Real Estate Commission has an assigned investigator for its complaints, however, the remaining six boards rely on volunteer and contract investigators which are difficult to obtain. Some complaints take longer than a year to resolve because of legal and/or time constraints depending on the severity of the alleged offense.

**Resources used:** The Bureau is self-supporting without the use of tax revenues from the general fund. Funding for the Bureau comes from fees collected from the licensees regulated.

#### **AGENCY CONTACTS**

Professional Licensing and Regulation Bureau Shari Fett, Bureau Chief 1920 SE Hulsizer Ankeny, Iowa 50021 515-281-7447

Fax 515-281-7411

Web page: <a href="http://www.state.ia.us/government/com/prof/home.html">http://www.state.ia.us/government/com/prof/home.html</a>

### AGENCY PERFORMANCE PLAN RESULTS FY 2007

Name of Agency:  DEPARTMENT OF COMMERCE –  DIVISION OF BANKING, PROFESSIONAL LICENSING & REGULATION BUF	REAU
---	------

Agency Mission: To provide progressive, efficient and professional regulation and enforcement of the professions Within the bureau.

Core	Funct	ion: Regi	ulation 8	& Comp	liance	
	•					•

Performance Measure (Outcome)	Performance Target	Performance Actual	Performance Comments & Analysis
95% of complaints received are resolved.	95%	75%	What Occurred: 75% of complaints received were resolved. The Real Estate Commission has an assigned Investigator for its complaints, however, the remaining six boards rely on volunteer and contract investigators which are difficult to obtain. Some complaints take longer than a year to resolve because of legal and/or time constraints depending on the severity of the alleged offense.  Data Source: Review of Board/Commission meeting minutes.

Service, Product or Activity: Regulation of professions

Performance Measure	Performance Target	Performance Actual	Performance Comments & Analysis
95% of complaints received are resolved.	95%	75%	What Occurred: 75% of complaints received were resolved. The Real Estate Commission has an assigned Investigator for its complaints, however, the remaining six boards rely on volunteer and contract investigators which are difficult to obtain. Some complaints take longer than a year to resolve because of legal and/or time constraints depending on the severity of the alleged offense.  Data Source: Review of Board/Commission meeting minutes.
99% of qualified candidates will be examined.	95%	100%	What Occurred: The Bureau examined 100% of all qualified candidates.  Data Source: Examination administration reports submitted by the testing organizations.
95% of license renewals will be processed in a timely manner.	95%	100%	What Occurred: The Bureau processed 100% of all completed renewals within five working days.  Data Source: Date stamped renewal forms are maintained by each profession.